

05909 U.S. PTO
011504

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

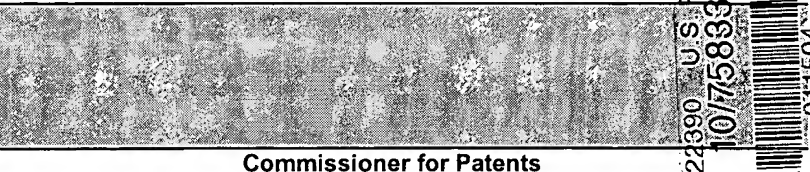
Our Docket No.: **I69.12-0614**

Date: **January 15, 2004**

First Named Inventor: **Kurt J. Korkowski**

Title: **ENDCAP FOR REDUCING AIRFLOW EXCITATION OF
HEAD GIMBAL ASSEMBLY**

Express Mail No.: **EV 302262210 US**



APPLICATION ELEMENTS

**ADDRESS TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

1. ☒ Fee Calculation Sheet
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status

3. ☒ Specification Total Pages **[25]**

- Descriptive title of the invention
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claims
- Abstract of the Disclosure

4. ☒ Drawings (35 U.S.C. 113) Total Sheets **[8]**

5. ☒ Oath or Declaration Total Pages **[3]**

- a. ☒ Newly Executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. 1.63(d) - for continuation/divisional with Box 18 completed)

[Mark Box 5 below]

I. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet. See 37 CFR 1.76.

- 7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
- 8. Nucleotide and/or Amino Acid Sequence Submission (*If applicable, all necessary*)
 - a. ☐ Computer Readable Copy (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies; or
 - ii. ☐ Paper
 - c. ☐ Statements verifying identify of above copies

ACCOMPANYING APPLICATION PARTS

- 9. ☒ Assignment Papers (cover sheet & document(s))
- 10. ☒ 37 C.F.R. 3.73(b) Submission
- ☒ Power of Attorney
- 11. ☐ English Translation Document (*if applicable*)
- 12. ☒ Information Disclosure Statement
- 13. ☐ Preliminary Amendment Total Pages ☐
- 14. ☒ Return Receipt Postcard (*Should be specifically itemized*)
- 15. ☐ Certified Copy of Priority document(s) (*If foreign priority is claimed*)
- 16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Application must attach form PTO/SB/35 or its equivalent
- 17. ☒ Other Associate Power of Attorney or Agent (37 C.F.R. 1.34)

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Division ☐ Continuation-in-part (CIP) of prior Application No.

Prior Application Information: Examiner ☐ Group Art Unit ☐

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

ATTY NAME
AND REG. NO.

**David R. Fairbairn,
Reg. No. 26,047**

SIGNATURE:

ADDRESS

TELEPHONE

(612) 339-1863

FAX: **(612) 339-6580**

<div style="display: flex; align-items: center;"> <div> <p style="margin: 0;">05909 U.S. PTO</p> <p style="margin: 0;">01504</p> </div> </div> <h2 style="text-align: center; margin-top: 10px;">FEE TRANSMITTAL</h2>	Compl te if Known																																																																																																																																																
	Application No.																																																																																																																																																
	Filing Date	Herewith																																																																																																																																															
	First Named Inventor	Kurt J. Korkowski et al.																																																																																																																																															
	Group Art Unit																																																																																																																																																
	Examiner Name																																																																																																																																																
Total Amount of Payment \$810.00	Atty. Docket Number	169.12-0614																																																																																																																																															
METHOD OF PAYMENT (Check One)																																																																																																																																																	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. 1.16 and 1.17 and credit any over payments to Deposit Account <u>No.11-0982</u> . Deposit Account Name: Kinney & Lange, P.A. A duplicate copy of this communication is enclosed																																																																																																																																																	
2. <input checked="" type="checkbox"/> Check Enclosed																																																																																																																																																	
FEE CALCULATION																																																																																																																																																	
1. BASIC FILING FEE <table style="width: 100%; margin-top: 5px;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr> <td>1001</td> <td>770</td> <td>2001</td> <td>385</td> <td><input checked="" type="checkbox"/> Utility Filing Fee</td> </tr> <tr> <td>1002</td> <td>340</td> <td>2002</td> <td>170</td> <td><input type="checkbox"/> Design Filing Fee</td> </tr> <tr> <td>1004</td> <td>770</td> <td>2004</td> <td>385</td> <td><input type="checkbox"/> Reissue Filing Fee</td> </tr> <tr> <td>1005</td> <td>160</td> <td>2005</td> <td>80</td> <td><input type="checkbox"/> Prov. Filing Fee</td> </tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (1) \$770.00</td> </tr> </tbody> </table>			Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	1001	770	2001	385	<input checked="" type="checkbox"/> Utility Filing Fee	1002	340	2002	170	<input type="checkbox"/> Design Filing Fee	1004	770	2004	385	<input type="checkbox"/> Reissue Filing Fee	1005	160	2005	80	<input type="checkbox"/> Prov. Filing Fee	Subtotal (1) \$770.00																																																																																																																					
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description																																																																																																																																													
1001	770	2001	385	<input checked="" type="checkbox"/> Utility Filing Fee																																																																																																																																													
1002	340	2002	170	<input type="checkbox"/> Design Filing Fee																																																																																																																																													
1004	770	2004	385	<input type="checkbox"/> Reissue Filing Fee																																																																																																																																													
1005	160	2005	80	<input type="checkbox"/> Prov. Filing Fee																																																																																																																																													
Subtotal (1) \$770.00																																																																																																																																																	
2. EXTRA CLAIM FEES <table style="width: 100%; margin-top: 5px;"> <thead> <tr> <th></th> <th>Number Claims</th> <th>Prior**</th> <th>Extra</th> <th>Fee from Below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total</td> <td><u>20</u></td> <td>-</td> <td><u>20</u></td> <td>=</td> <td><u>0</u> x <u>0</u> = <u>0</u></td> </tr> <tr> <td>Indep.</td> <td><u>3</u></td> <td>-</td> <td><u>0</u></td> <td>=</td> <td><u>0</u> x <u>0</u> = <u>0</u></td> </tr> <tr> <td colspan="6">Multiple Dependent Claims <u> </u> * = <u> </u> *</td> </tr> </tbody> </table> <p style="font-size: small; margin-top: 5px;">**Insert 3 and 20, or number previously paid if greater; Reissue see below</p> <table style="width: 100%; margin-top: 5px;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>1202</td> <td>18</td> <td>2202</td> <td>9</td> <td>Claims in excess of 20</td> </tr> <tr> <td>1201</td> <td>86</td> <td>2201</td> <td>43</td> <td>Independent claims in excess of 3</td> </tr> <tr> <td>1203</td> <td>290</td> <td>2203</td> <td>145</td> <td>Multiple Dependent Claim</td> </tr> <tr> <td>1204</td> <td>86</td> <td>2204</td> <td>43</td> <td>Reissue Independent Claims Over Original Patent</td> </tr> <tr> <td>1205</td> <td>18</td> <td>2205</td> <td>9</td> <td>Reissue claims in excess of 20 and over original patent</td> </tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (2) \$</td> </tr> </tbody> </table>				Number Claims	Prior**	Extra	Fee from Below	Fee Paid	Total	<u>20</u>	-	<u>20</u>	=	<u>0</u> x <u>0</u> = <u>0</u>	Indep.	<u>3</u>	-	<u>0</u>	=	<u>0</u> x <u>0</u> = <u>0</u>	Multiple Dependent Claims <u> </u> * = <u> </u> *						Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Description	1202	18	2202	9	Claims in excess of 20	1201	86	2201	43	Independent claims in excess of 3	1203	290	2203	145	Multiple Dependent Claim	1204	86	2204	43	Reissue Independent Claims Over Original Patent	1205	18	2205	9	Reissue claims in excess of 20 and over original patent	Subtotal (2) \$																																																																																								
	Number Claims	Prior**	Extra	Fee from Below	Fee Paid																																																																																																																																												
Total	<u>20</u>	-	<u>20</u>	=	<u>0</u> x <u>0</u> = <u>0</u>																																																																																																																																												
Indep.	<u>3</u>	-	<u>0</u>	=	<u>0</u> x <u>0</u> = <u>0</u>																																																																																																																																												
Multiple Dependent Claims <u> </u> * = <u> </u> *																																																																																																																																																	
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Description																																																																																																																																													
1202	18	2202	9	Claims in excess of 20																																																																																																																																													
1201	86	2201	43	Independent claims in excess of 3																																																																																																																																													
1203	290	2203	145	Multiple Dependent Claim																																																																																																																																													
1204	86	2204	43	Reissue Independent Claims Over Original Patent																																																																																																																																													
1205	18	2205	9	Reissue claims in excess of 20 and over original patent																																																																																																																																													
Subtotal (2) \$																																																																																																																																																	
3. ADDITIONAL FEES <table style="width: 100%; margin-top: 5px;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee paid</th> </tr> </thead> <tbody> <tr><td>1051</td><td>130</td><td>2051</td><td>65</td><td>Surcharge - Late filing fee or oath</td><td>*</td></tr> <tr><td>1052</td><td>50</td><td>2052</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td>*</td></tr> <tr><td>1053</td><td>130</td><td>1053</td><td>130</td><td>Non-English specification</td><td>*</td></tr> <tr><td>1812</td><td>2,520</td><td>1812</td><td>2,520</td><td>For Filing a Request for Reexamination</td><td>*</td></tr> <tr><td>1251</td><td>110</td><td>2251</td><td>55</td><td>Extension for reply within first month</td><td>*</td></tr> <tr><td>1252</td><td>420</td><td>2252</td><td>210</td><td>Extension for reply within second month</td><td>*</td></tr> <tr><td>1253</td><td>950</td><td>2253</td><td>475</td><td>Extension for reply within third month</td><td>*</td></tr> <tr><td>1254</td><td>1,480</td><td>2254</td><td>740</td><td>Extension for reply within fourth month</td><td>*</td></tr> <tr><td>1255</td><td>2,010</td><td>2255</td><td>1,005</td><td>Extension for reply within fifth month</td><td>*</td></tr> <tr><td>1402</td><td>330</td><td>2402</td><td>165</td><td>Filing a brief in support of an appeal</td><td>*</td></tr> <tr><td>1403</td><td>290</td><td>2403</td><td>145</td><td>Request for oral hearing</td><td>*</td></tr> <tr><td>1814</td><td>110</td><td>2814</td><td>55</td><td>Terminal Disclaimer Fee</td><td>*</td></tr> <tr><td>1452</td><td>110</td><td>2452</td><td>55</td><td>Petition to revive - unavoidable</td><td>*</td></tr> <tr><td>1453</td><td>1,330</td><td>2453</td><td>665</td><td>Petition to revive - unintentional</td><td>*</td></tr> <tr><td>1501</td><td>1,330</td><td>2501</td><td>665</td><td>Utility/Reissue issue fee</td><td>*</td></tr> <tr><td>1502</td><td>480</td><td>2502</td><td>240</td><td>Design issue fee</td><td>*</td></tr> <tr><td>1460</td><td>130</td><td>1460</td><td>130</td><td>Petitions to the Commissioner</td><td>*</td></tr> <tr><td>1807</td><td>50</td><td>1807</td><td>50</td><td>Petitions related to provisional applications</td><td>*</td></tr> <tr><td>1806</td><td>180</td><td>1806</td><td>180</td><td>Submission of Information Disclosure Statement</td><td>*</td></tr> <tr><td>8021</td><td>40</td><td>8021</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40</td></tr> <tr><td>1801</td><td>770</td><td>2801</td><td>385</td><td>Request for Continued Examination (RCE)</td><td>*</td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td>*</td></tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (3) \$40.00</td> </tr> </tbody> </table>			Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee paid	1051	130	2051	65	Surcharge - Late filing fee or oath	*	1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	*	1053	130	1053	130	Non-English specification	*	1812	2,520	1812	2,520	For Filing a Request for Reexamination	*	1251	110	2251	55	Extension for reply within first month	*	1252	420	2252	210	Extension for reply within second month	*	1253	950	2253	475	Extension for reply within third month	*	1254	1,480	2254	740	Extension for reply within fourth month	*	1255	2,010	2255	1,005	Extension for reply within fifth month	*	1402	330	2402	165	Filing a brief in support of an appeal	*	1403	290	2403	145	Request for oral hearing	*	1814	110	2814	55	Terminal Disclaimer Fee	*	1452	110	2452	55	Petition to revive - unavoidable	*	1453	1,330	2453	665	Petition to revive - unintentional	*	1501	1,330	2501	665	Utility/Reissue issue fee	*	1502	480	2502	240	Design issue fee	*	1460	130	1460	130	Petitions to the Commissioner	*	1807	50	1807	50	Petitions related to provisional applications	*	1806	180	1806	180	Submission of Information Disclosure Statement	*	8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40	1801	770	2801	385	Request for Continued Examination (RCE)	*	Other fee (specify) _____					*	Subtotal (3) \$40.00				
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee paid																																																																																																																																												
1051	130	2051	65	Surcharge - Late filing fee or oath	*																																																																																																																																												
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	*																																																																																																																																												
1053	130	1053	130	Non-English specification	*																																																																																																																																												
1812	2,520	1812	2,520	For Filing a Request for Reexamination	*																																																																																																																																												
1251	110	2251	55	Extension for reply within first month	*																																																																																																																																												
1252	420	2252	210	Extension for reply within second month	*																																																																																																																																												
1253	950	2253	475	Extension for reply within third month	*																																																																																																																																												
1254	1,480	2254	740	Extension for reply within fourth month	*																																																																																																																																												
1255	2,010	2255	1,005	Extension for reply within fifth month	*																																																																																																																																												
1402	330	2402	165	Filing a brief in support of an appeal	*																																																																																																																																												
1403	290	2403	145	Request for oral hearing	*																																																																																																																																												
1814	110	2814	55	Terminal Disclaimer Fee	*																																																																																																																																												
1452	110	2452	55	Petition to revive - unavoidable	*																																																																																																																																												
1453	1,330	2453	665	Petition to revive - unintentional	*																																																																																																																																												
1501	1,330	2501	665	Utility/Reissue issue fee	*																																																																																																																																												
1502	480	2502	240	Design issue fee	*																																																																																																																																												
1460	130	1460	130	Petitions to the Commissioner	*																																																																																																																																												
1807	50	1807	50	Petitions related to provisional applications	*																																																																																																																																												
1806	180	1806	180	Submission of Information Disclosure Statement	*																																																																																																																																												
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40																																																																																																																																												
1801	770	2801	385	Request for Continued Examination (RCE)	*																																																																																																																																												
Other fee (specify) _____					*																																																																																																																																												
Subtotal (3) \$40.00																																																																																																																																																	

Signature David R. Fairbairn

Date 1/15/04

Reg. No. 26,047

Deposit Account No. 11-0982